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Date of Deposit: April 19, 2001

PATENT APPLICATION

Attorney Docket No.: 24631-501



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Harry A. Kaplan et al.

SERIAL No.: 10/043,899

FILING DATE: January 11, 2002

FOR: ANONYMOUS AUCTIONING OF STRUCTURED FINANCIAL  
PRODUCTS OVER A COMPUTER NETWORK

April 19, 2002  
Boston, Massachusetts

BOX IDS  
Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER

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Sir:

Transmitted herewith for filing in the present application are the following documents:

- ☒ Information Disclosure Statement
- ☒ Modified Form 1449
- ☒ Return Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at 212/692-6803, New York, New York.

A duplicate copy of this transmittal letter is enclosed.

Respectfully submitted,

Brian P. Hopkins

Registration No. 42,669

Attorney for Applicants

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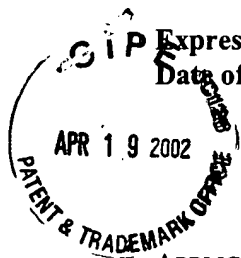
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PATENT TRADEMARK OFFICE



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Attorney Docket No. 24631-501

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: Harry A. Kaplan et al.  
SERIAL NUMBER: 10/043,899 EXAMINER: TBA  
FILING DATE: January 11, 2002 ART UNIT: 2164  
FOR: ANONYMOUS AUCTIONING OF STRUCTURED FINANCIAL PRODUCTS  
OVER A COMPUTER NETWORK

Box IDS  
Commissioner for Patents  
Washington, D.C. 20231

April 19, 2002  
Boston, Massachusetts

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**INFORMATION DISCLOSURE STATEMENT**

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, Applicants hereby make of record the documents listed below and on the attached modified Form PTO-1449 (submitted in duplicate) in the above-identified application, copies of which are submitted herewith. The order of presentation of the references should not be construed as an indication of the importance of the references.

**U.S. Patent Documents:**

5,890,138	6,021,398	6,151,589
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A copy of each of the above-identified documents is enclosed unless otherwise indicated on the attached Form PTO-1449 (modified). It is respectfully requested that the Examiner consider the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims, and signs the enclosed form PTO-1449 to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application.


By submitting this Information Disclosure Statement, the Applicant makes no representation that: (1) a search has been performed, of the extent of any search performed, or that more relevant information does not exist; (2) the information cited in the Statement is, or is

APPLICANTS: Harry A. Kaplan et al.  
U.S.S.N.: 10/043,899

considered to be, material to patentability as defined in 37 C.F.R. §1.56(b); and (3) the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his/her own conclusion regarding the relevance of the cited information. An early and favorable action is hereby requested. Please charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 24631-501.

Respectfully submitted,



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Dated: April 19, 2002

**Express Mail No. EL752688774US**  
Date of Deposit: April 19, 2002

Modified Form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

APR 19 2002

(use as many sheets as necessary)

**Application Number**

10/043,899

**Filing Date**

January 11, 2002

**First Named Inventor**

Harry A. Kaplan et al.

### Group Art Unit

2164

**Examiner Name**

**TBA**

Attorney Docket Number

24631-501

## U.S. PATENT DOCUMENTS

Exam Initials	Cite No.	U.S. Patent Document No.	Issue Date	Name of Patentee(s) or Applicant(s)	Class	Sub Class	Filing Date If Appropriate
		5,890,138	3/30/99	Godin et al.	705	26	
		6,021,398	2/1/00	Ausubel	705	37	
		6,151,589	11/21/00	Aggarwal et al.	705	37	
						<div>RECEIVED</div> <div>APR 24 2002</div> <div>Technology Center 2100</div>	

# FOREIGN PATENT DOCUMENTS

[illegible]

## OTHER NON PATENT LITERATURE DOCUMENTS

[illegible]

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Examiner Signature		Date Considered	
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**Include copy of this form with next communication to applicant.**